



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/960,248	09/20/2001	Dominic W. Massaro	UC00-275-2



John P. O'banion  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814

CONFIRMATION NO. 4329

## FORMALITIES LETTER



\*OC000000006954884\*

Date Mailed: 10/23/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$570.
  - \$450 for 50 total claims over 20.
  - \$120 for 3 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 990.

*A copy of this notice **MUST** be returned with the reply.*

*Shane*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/07/2002 VTRU061 00000024 09960248

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:202	126.00 OP
04 FC:203	378.00 OP



**PATENT**

Docket No.: UC00-275-2

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: DOMINIC W. MASSARO; MICHAEL M. COHEN; JONAS BESKOW  
Serial No.: 09/960,248  
Filed: SEPTEMBER 20, 2001  
For: VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH  
PRODUCTION MODELS  
Group:  
Examiner:

**BOX MISSING PARTS**  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**SUBMISSION OF MISSING PARTS OF APPLICATION**  
**UNDER 37 C.F.R. § 1.53**

Dear Sir:

In response to the Notice to File Missing Parts of Application (PTO-1533) mailed October 23, 2001, a copy of which is enclosed, please find the following documents which are incorporated by reference herein:

1. Combined Declaration and Power of Attorney;
2. Check in the amount of \$939 (\$874 filing fees and \$65 surcharge for the fees due as a small entity).
3. First Preliminary Amendment;
4. Petition for Extension of Time under 37 CFR 1.136(a) (Small Entity);
5. Check in the amount of \$195.00 (Extension of Time under 37 CFR 1.136(a);
6. Power of Attorney by Assignee and Exclusion of Inventors Under 37 C.F.R. 3.71;
7. Assignee Certification Under 37 C.F.R. 3.73(b);
8. Information Disclosure Statement;
9. PTO Form 1449;

10. Copies of Citations Listed on PTO Form 1449 and;
11. Assignment Cover Letter;
12. Assignment and;
13. Check in the amount of \$40 (assignment recording fee).

The amount due for the filing fees and surcharge has been computed as follows:

CLAIMS AS FILED									
		Number filed		Number Extra			Rate		Basic Fee \$ 740.00
Total									
Claims 37 CFR 1.16(c)		62	- 20	=	42	X	\$18.00	=	756.00
Independent									
Claims (37 CFR 1.16(b))		6	- 3	=	3	X	\$84.00	=	252.00
Multiple dependent claim(s), if any (37 CFR 1.16(d))						+	\$280.00	=	

X Amendment canceling extra claims enclosed.

Filing Fee Calculation		\$ 1,748.00
<b>Surcharge</b>		\$ 130.00
<b>TOTAL FILING FEE</b>		\$ 1,878.00

**Small Entity Statement(s)**

X Applicant qualifies as a small entity under 37 CFR 1.9 and 1.27.

<b>Filing Fee Calculation (50% of above)</b>		\$ 939.00
<b>Amount already paid</b>	LESS (\$ )	
<b>TOTAL FILING FEES DUE</b>		\$ 939.00
<u>X</u> Assignment recording fee		\$ 40.00
<u>X</u> Petition fee		\$ 195.00
<b>TOTAL FEES DUE</b>		\$ 1,174.00

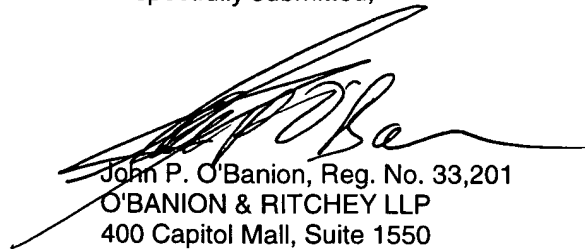
Please charge any additional fees due to deposit account no. 07-1137.

Having now complied with all of the requirements of 37 C.F.R. 1.53, the Applicants respectfully request that this application be placed upon the files for examination.

**PLEASE CORRECT THE NAMES OF APPLICANTS TO MATCH THE NAMES ON THE  
ENCLOSED DECLARATION.**

Dated: February 25, 2002.

Respectfully submitted,



John P. O'Banion, Reg. No. 33,201  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814  
(916) 498-1010

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **DOMINIC W. MASSARO ET AL.**

Docket No.

**UC00-275-2**

Serial No.

**09/960,248**

Filing Date

**SEPTEMBER 20, 2001**

Examiner

Group Art Unit

**2644**

Invention:

**VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION  
MODELS**

I hereby certify that the following correspondence:

**Submission of Missing Parts of Application (Page 1 thru 3)***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

**February 25, 2002***(Date)***JERRY V. KING***(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)***EL737163947US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **DOMINIC W. MASSARO ET AL.**

Docket No.

**UC00-275-2**

Serial No.

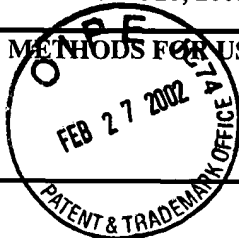
**09/960,248**

Filing Date

**SEPTEMBER 20, 2001**

Examiner

Group Art Unit

**2644**Invention: **VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION MODELS**

I hereby certify that the following correspondence:

**First Preliminary Amendment (Page 1)***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

**February 25, 2002***(Date)***JERRY V. KING***(Typed or Printed Name of Person Mailing Correspondence)*  
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Docket No.

**UC00-275-2**

Serial No.

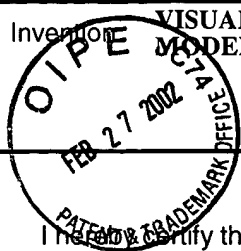
**09/960,248**

Filing Date

**SEPTEMBER 20, 2001**

Examiner

Group Art Unit

**2644**Invention **VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION**  
**MODELS**

I hereby certify that the following correspondence:

**Combined Declaration and Power of Attorney (Page 1 thru 5)***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

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Docket No.

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Serial No.

**09/960,248**

Filing Date

**SEPTEMBER 20, 2001**

Examiner

Group Art Unit

**2644**

Invention:

**VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION  
MODELS****FEB 27 2002****PATENT & TRADEM**

I hereby certify that the following correspondence:

**Petition for Extension of Time (Small Entity) (Page 1)***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

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Docket No.

UC00-275-2

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Filing Date

SEPTEMBER 20, 2001

Examiner

Group Art Unit

2644

Invention:

**VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION  
MODELS**

FEB 27 2002

PATENT &amp; TRADEMARK

I hereby certify that the following correspondence:

**Power of Attorney by Assignee and Exclusion of Inventors (Page 1)***(Identify type of correspondence)*

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Docket No.

**UC00-275-2**

Serial No.

**09/960,248**

Filing Date

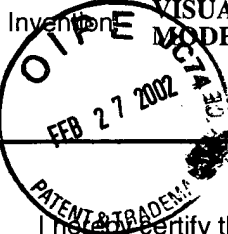
**SEPTEMBER 20, 2001**

Examiner

Group Art Unit

**2644**

Invention

**VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION  
MODELS**

I hereby certify that the following correspondence:

**Assignee Certification (Page 1)***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

**February 25, 2002***(Date)***JERRY V. KING***(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)***EL737163947US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

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Docket No.

UC00-275-2

Serial No.

09/960,248

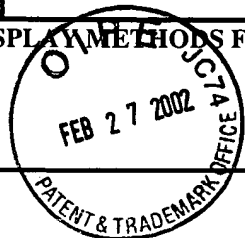
Filing Date

SEPTEMBER 20, 2001

Examiner

Group Art Unit

2644

Invention: **VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION MODELS**

I hereby certify that the following correspondence:

Notice to file missing parts of nonprovisional application (Page 1)

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

February 25, 2002

(Date)

**JERRY V. KING**

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)**EL737163947US**

("Express Mail" Mailing Label Number)

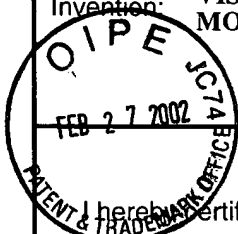
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03-01-02 TD Cp 2644

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): <b>DOMINIC W. MASSARO ET AL.</b>	Docket No. <b>UC00-275-2</b>
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Serial No. <b>09/960,248</b>	Filing Date <b>SEPTEMBER 20, 2001</b>	Examiner	Group Art Unit <b>2644</b>
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Invention: **VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION MODELS**



**RECEIVED**

**MAR 06 2002**

I hereby certify that the following correspondence:

Citations (22)

**Technology Center 2600**

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on



February 25, 2002  
(Date)

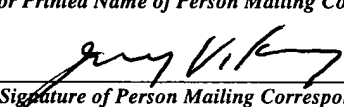
JERRY V. KING  
(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)

EL737163947US  
( "Express Mail" Mailing Label Number )

Note: Each paper must have its own certificate of mailing.

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. UC00-275-2
Applicant(s): DOMINIC W. MASSARO ET AL.			
Serial No. 09/960,248	Filing Date SEPTEMBER 20, 2001	Examiner	Group Art Unit 2644
Invention: VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION MODELS			
<div></div>			
I hereby certify that the following correspondence: <div>PTO Form 1449 (Page 1 thru 3)</div> <p>(Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>February 25, 2002</u> (Date)</p> <div><div>JERRY V. KING (Typed or Printed Name of Person Mailing Correspondence)</div><div> (Signature of Person Mailing Correspondence)</div><div>EL737163947US ( "Express Mail" Mailing Label Number)</div></div>			
Note: Each paper must have its own certificate of mailing.			

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): <b>DOMINIC W. MASSARO ET AL.</b>			Docket No. <b>UC00-275-2</b>	
Serial No. <b>09/960,248</b>	Filing Date <b>SEPTEMBER 20, 2001</b>	Examiner	Group Art Unit <b>2644</b>	
Invention: <b>VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH PRODUCTION</b> <b>MODELS</b>				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 100px;"><p><b>Information Disclosure Statement (Page 1 thru 10)</b></p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p style="text-align: center;"><u><b>February 25, 2002</b></u> <i>(Date)</i></p> <div style="text-align: right; margin-top: 20px;"><p><u><b>JERRY V. KING</b></u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p><p><u></u> <i>(Signature of Person Mailing Correspondence)</i></p><p><u><b>EL737163947US</b></u> <i>("Express Mail" Mailing Label Number)</i></p></div>				
<p><b>Note: Each paper must have its own certificate of mailing.</b></p>				